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Fax Transmittal

Date	July 15, 2005	**Client-Matter**	74622-011
Total Pages (Including Cover)		3	
From		John C. Stellabotte	
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To:	Examiner: Ella Colbert		**Fax No.:** 703-872-9306
Company:	United States Patent and Trademark Office – Group Art Unit 3624		**Voice No.:** (571)272-6741

Message

Re: Inventor : Thomas C. Naratil
Serial No. : 09/617,853
Filing Date : July 17, 2000
Title : SYSTEM FOR TRADING FIXED INCOME FINANCIAL INTRUMENTS...
Att'y Docket : 74622-011

Attached please find the following:

1) Power of Attorney and Correspondence Address Indication Form
2) Statement Under 37 CFR 3.73(b)

Please contact John C. Stellabotte at (212) 969-3413 if you have any questions.

FACSIMILE TRANSMISSION CERTIFICATE

I hereby certify that these papers are being facsimile transmitted to the Patent and Trademark Office on the date shown below.

Juan C. Arias
Name of person signing the certification

Juan C. Arias July 15, 2005
Signature Date

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POWER OF ATTORNEY and CORRESPONDENCE ADDRESS INDICATION FORM

Application Number	09/617,853
Filing Date	July 17, 2000
First Named Inventor	Thomas C. Naratil
Title	SYSTEM FOR TRADING FIXED INCOME FINANCIAL INSTRUMENTS...
Art Unit	3624
Examiner Name	Ella Colbert
Attorney Docket Number	74622-011

I hereby appoint:

☒ Practitioners associated with the Customer Number: **21890**

OR

☐ Practitioner(s) named below:

Name	Registration Number

as my/our attorney(s) or agent(s) to prosecute the application identified above, and to transact all business in the United States Patent and Trademark Office connected therewith.

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Country					
Telephone		Fax			

I am the:

☐ Applicant/Inventor.

☒ Assignee of record of the entire interest. See 37 CFR 3.71. Statement under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/96)

SIGNATURE of Applicant or Assignee of Record

Signature		Date	7/11/05
Name	Gregg I. Goldman	Telephone	203.719.3099
Title and Company	Director and Senior Counsel, UBS Financial Services, Inc.		

NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below*.

☐ *Total of _____ forms are submitted.

This collection of information is required by 37 CFR 1.31 and 1.33. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 3 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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STATEMENT UNDER 37 CFR 3.73(b)

Applicant/Patent Owner: Thomas C. Naratil

Application No./Patent No.: 09/617,853 Filed/Issue Date: July 17, 2000

Entitled: SYSTEM FOR TRADING FIXED INCOME FINANCIAL INSTRUMENTS: U.S. TREASUREY SECURITIES, LIQUID AGENCIES AND ZERO COUPON STRIPS

UBS Painewebber Inc., a Corporation
(Name of Assignee) (Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. [x] the assignee of the entire right, title, and interest; or

2. [] an assignee of less than the entire right, title and interest.
The extent (by percentage) of its ownership interest is _____ %

in the patent application/patent identified above by virtue of either:

A. [] An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.

OR

B. [x] A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:

1. From: Thomas C. Naratil To: Painewebber Incorporated
The document was recorded in the United States Patent and Trademark Office at
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2. From: Painewebber Incorporated To: UBS Painewebber Inc.
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[] Additional documents in the chain of title are listed on a supplemental sheet.

[] Copies of assignments or other documents in the chain of title are attached.

[NOTE: A separate copy (i.e., a true copy of the original assignment document(s)) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the USPTO. See MPEP 302.08]

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

Signature	Date
Gregg I. Goldman	203 719 3099
Printed or Typed Name	Telephone Number
Director and Senior Counsel, UBS Financial Services, Inc.	
Title	

This collection of information is required by 37 CFR 3.73(b). The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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